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Approved for use through 09/30/2000, OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number	09/736,266
		Filing Date	December 15, 2000
		First Named Inventor	Dr. Adalbert Feltz
		Group Art Unit	1775
		Examiner Name	To be assigned
Total Number of Pages in This Submission	15	Attorney Docket Number	P1999,0008US AF/BS

ENCLOSURES (check all that apply)			
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group	
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences	
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)	
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information	
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter	
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below)	
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Please see remarks	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement		
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund		
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		<ol style="list-style-type: none"> <li>1. Request for Corrected Filing Receipt, and</li> <li>2. Return Post Card</li> </ol>	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Epping, Herman & Fischer; Customer No. 000026461 ATTN: Jacob Eisenberg, Esq.
Signature	
Date	December 9, 2001

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CERTIFICATE OF MAILING		
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Typed or printed name		
Signature		Date

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Dr. Adalbert Feltz *et al.*

Serial No.: 09/736,266

Filing Date: December 15, 2000

For: Piezoelectric Device

Art Unit: 1775

Examiner: To be assigned

Docket No.:P1999,0008US AF/BS

Client No.: Epp.019

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
United States Patent & Trademark Office  
Washington DC 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

Dear Sir or Madam:

Via Air Mail, Pages 15

Applicants hereby request that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicants, a copy of which is attached hereto, has the following inaccuracies appearing thereon as indicated by quotation marks and herein requested corrections for which are indicated by double dashes:

1. Please change the *Foreign Applications* which is blank to:

-- DE19960849.0, 16/12/1999--

As evidence of the above, Applicants enclose herewith a copy of the executed declaration filed with this application, wherein the above appear on page 2.

2. Please change the *Fil Fee Rec'd* which is blank to: -- \$1080.00--.

As evidence of receipt of payment by the USPTO, Applicants enclose herewith a copy of the transmittal form, transmittal cover letter, fee transmittal, credit card payment form, and stamped return post card filed with this application.

02/01/2002 HMDHANN1 00000001 501871 09736266

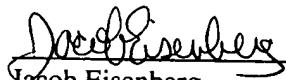
01 FC:103 432.00 CH

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3. Please change the address of Applicant *Sigrid Gansberger*, from:  
"Sigrid Gansberger, Graz, AUSTRIA" to:  
--Sigrid Gansberger, Gross St. Florian, AUSTRIA--.

The Patent and Trademark Office is invited to contact the undersigned for any reason which would expedite the handling of this matter. In the event that the Patent and Trademark Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No.: 501871** referencing docket no.: P1999,0008 US AF/BS. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

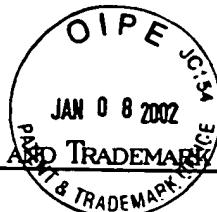
  
Jacob Eisenberg  
Registration No. 43,410

Date: December 9, 2001  
EPPING, HERMANN & FISCHER  
Ridlerstrasse 55  
D-80339, München, Germany  
(Tel.) +49 89 500-3290  
(Fax) +49 89 500-32999  
Customer Number: 000026461

**Enclosures:** Official Filing Receipt (copy),  
transmittal form (copy),  
transmittal cover letter (copy),  
fee transmittal (copy),  
credit card payment form (copy),  
stamped return post card (copy),  
declaration (copy),  
transmittal form (original), and  
return card (original).



UNITED STATES PATENT AND TRADEMARK OFFICE



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/736,266	12/15/2000	1775	0.00	P1999,0008 US AF/BS	5	44	3

Epping, Hermann & Fischer  
Attn: Jacob Elsenberg  
Ridlerstrasse 55  
Munich, D80339  
GERMANY

**EINGANG**  
 Epping Hermann & Fischer  
**29. Okt. 2001**  
 Frist: .....

CONFIRMATION NO. 8730  
UPDATED FILING RECEIPT  
  
 OC000000006901015

Date Mailed: 10/15/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Adalbert Feltz, Deutschlandsberg, AUSTRIA;  
 Sigrid Gansberger, Graz, AUSTRIA;  
 Heinz Florian, Bad Gams, AUSTRIA;  
 Harald Kastl, Bad Gams, AUSTRIA;

**Domestic Priority data as claimed by applicant**

**Foreign Applications**

If Required, Foreign Filing License Granted 02/16/2001

Projected Publication Date: 06/20/2002

Non-Publication Request: No

Early Publication Request: No

**Title**

Piezoceramic device

**Preliminary Class**

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**TC 1700**

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/736,266
		Filing Date	December 15, 2000
		First Named Inventor	Dr. Adalbert Feltz
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
Total Number of Pages in This Submission	39	Attorney Docket Number	P1999,0008US AF/BS

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

### Submission of Substitute Drawings

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Epping, Herman & Fischer; Customer No. 000026461 ATTN: Jacob Eisenberg, Esq.
Signature	
Date	May 15, 2001

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Epping, Hermann & Fischer GbR  
Ridlerstrasse 55  
D-80339 München, Deutschland (Germany)  
Attn: Jacob Eisenberg



Voice +49895003290  
Facsimile +498950032999  
Customer No.: 000026461

Assistant Commissioner for Patents  
Washington DC 20231

Re: Utility Patent Application  
Atty. Dock.: P1999,0008US AF/BS; Client Ref: Epp.019  
Filed: December 15, 2000; Serial No.: 09/736,266  
Inventor(s): Dr. Adalbert Feltz et al. For: Piezoelectric Device

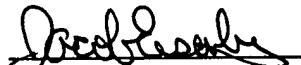
Sir:

In response to the NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION, FILING DATE GRANTED and FILING RECEIPT, a copy of which is attached hereto, the following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Transmittal Form;
2. Fee Transmittal, form PTO/SB/17 (duplicate);
3. Extension of Time Request, PTO/SB/22
4. Credit Card Payment Form, PTO-2038;
5. Declaration/Oath and Power of Attorney
6. PTO Copy of Notice to File Missing Parts of Nonprovisional Application;
7. Substitute Drawings Submission per 37 CFR §1.84
8. English Language Translation Submission per 37 CFR §1.52(d);
9. Return Post Card.

It is respectfully requested that the attached post card be stamped with the filing date of these documents and returned to us via post. A duplicate of this letter is enclosed.

Respectfully submitted,

  
Jacob Eisenberg  
Registration No. 43,410

Date: May 15, 2001

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PTO/SB/17 (11-00)  
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# FEE TRANSMITTAL for FY 2001

*Patent fees are subject to annual revision.*

TOTAL AMOUNT OF PAYMENT	(\$ 1080.00)
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## Complete If Known

Application Number	09/736,266
Filing Date	December 15, 2000
First Named Inventor	Dr. Adalbert Feltz
Examiner Name	Unassigned
Group Art Unit	Unassigned
Attorney Docket No.	P1999,0008US AF/BS

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	[Redacted]
Deposit Account Name	[Redacted]

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee	Fee Description	Fee Paid
101	710	201	355 Utility filing fee	710
106	320	206	160 Design filing fee	
107	490	207	245 Plant filing fee	
108	710	208	355 Reissue filing fee	
114	150	214	75 Provisional filing fee	

SUBTOTAL (1) (\$ 710)

### 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			-20** =	0 X 18 =	0
			-3** =	0 X 80 =	0

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee	Fee Description
103	18	203	9 Claims in excess of 20
102	80	202	40 Independent claims in excess of 3
104	270	204	135 Multiple dependent claim, if not paid
109	80	209	40 ** Reissue independent claims over original patent
110	18	210	9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0)

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee	Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	130
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English specification	130
147	2,520	147	2,520 For filing a request for ex parte reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	110
116	390	216	195 Extension for reply within second month	
117	890	217	445 Extension for reply within third month	
118	1,390	218	695 Extension for reply within fourth month	
128	1,890	228	945 Extension for reply within fifth month	
119	310	219	155 Notice of Appeal	
120	310	220	155 Filing a brief in support of an appeal	
121	270	221	135 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,240	241	620 Petition to revive - unintentional	
142	1,240	242	620 Utility issue fee (or reissue)	
143	440	220	Design issue fee	
144	600	244	300 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CFR 1.17(d)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	
146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))	
148	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 370)

## SUBMITTED BY

Name (Print/Type)	Jacob Eisenberg	Registration No. (Attorney/Agent)	43,410	Telephone	+49895003290
Signature	<i>Jacob Eisenberg</i>			Date	May 15, 2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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## PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a)

Docket Number (Optional)

P1999,0008 US AP/B5



In re Application of Dr. Adalbert FELTZ et al.

Application Number 09/736,266

Filed 12/15/2000

For Piezoelectric Device

Group Art Unit Unassigned

Examiner Unassigned

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a reply in the above identified application.

The requested extension and appropriate non-small-entity fee are as follows (check time period desired):

- |   |           |
|---|-----------|
| <input checked="" type="checkbox"/> One month (37 CFR 1.17(a)(1))   | \$ 130.00 |
| <input type="checkbox"/> Two months (37 CFR 1.17(a)(2))   | \$ _____  |
| <input type="checkbox"/> Three months (37 CFR 1.17(a)(3))   | \$ _____  |
| <input type="checkbox"/> Four months (37 CFR 1.17(a)(4))  | \$ _____  |
| <input type="checkbox"/> Five months (37 CFR 1.17(a)(5))  | \$ _____  |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Therefore, the fee amount shown above is reduced by one-half, and the resulting fee is: \$ _____.                                       |           |
| <input type="checkbox"/> A check in the amount of the fee is enclosed.  |           |
| <input checked="" type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.  |           |
| <input type="checkbox"/> The Commissioner has already been authorized to charge fees in this application to a Deposit Account.  |           |
| <input type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number _____.<br>I have enclosed a duplicate copy of this sheet. |           |

I am the  applicant/inventor

- |   |
|---|
| <input type="checkbox"/> assignee of record of the entire interest. See 37 CFR 3.71.  |
| Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).   |
| <input checked="" type="checkbox"/> attorney or agent of record.  |
| <input type="checkbox"/> attorney or agent under 37 CFR 1.34(a).<br>Registration number if acting under 37 CFR 1.34(a) _____. |

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May 15, 2001  
Date

Jacob Eisenberg  
Signature

**Jacob Eisenberg, Reg. No. 43,410**  
Typed or printed name

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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